

## IN THE U.S. PATENT AND TRADEMARK OFFICE

In re Application of: MORALES, et al. )

Serial Number: 10/804,771 )

Examiner: BARRECA, N.

Filed: 03/19/04 )

Group Art Unit: 1756

For: GRAY SCALE X-RAY MASK )

Attorney Docket Number: SD-8287.1 )

Commissioner for Patents  
Alexandria, VA 22313-1450

March 8, 2005

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.97

Sir:

Listed below on the attached Form PTO-1449 is information known to the Applicants. A copy of each of the listed publications is submitted herewith along with a concise explanation of information in a foreign language, if any, pursuant to 37 CFR §§1.97 and 1.98.

Applicant respectfully requests that the listed information be considered by the Examiner and be made of record in the above-identified application. Examiner is further requested to initial and return attached Form PTO-1449 in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

1. ☐ This statement is filed under 37 CFR §1.97, subsection (b) because the submission was filed:

☐ within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); OR

☐ before the mailing date of the first Official Action on the merits, whichever comes last; OR

☐ before the mailing date of the first Official Action on the merits after the filing of a request for continued examination under §1.114.

2. ☒ This statement is filed under 37 CFR §1.97, subsection (c), because the submission was made AFTER the latest of (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; OR (3) after the mailing date of a first Official Action on the merits, but BEFORE the mailing date of the earlier of a final Official Action under §1.113 or a Notice of Allowability under §1.311, or any other action that otherwise closes prosecution in the application AND is accompanied by one of either:

☐ a statement under §1.97(e); OR

☒ the fee required under 37 CFR §1.17(p).

3. ☐ This statement is filed under 37 CFR §1.97, subsection (d), because the submission was made AFTER the mailing date of the Final Action §1.113 or a Notice of Allowability under §1.311 but BEFORE payment of the Issue Fee. This statement is, therefore, accompanied by :

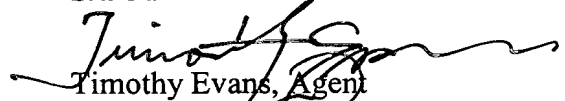
☐ a statement as specified under §1.97(e); AND

☐ the fee required under 37 CFR §1.17(p).

4. ☒ The Commissioner is hereby authorized to charge Deposit Account No. 50-0583 in the amount of \$ 180.00, or the amount which is currently applicable. Fee sheet PTO/SB/17 and a duplicate copy of that paper is attached.

5. ☒ The Commissioner is hereby authorized to charge any underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0583

Respectfully submitted by,  
SANDIA NATIONAL LABORATORIES

  
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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).**FEE TRANSMITTAL**  
**For FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) \$180.00**Complete if Known**

Application Number 10/804,771

Filing Date 03/19/2004

First Named Inventor MORALES

Examiner Name BARRECA, N.

Art Unit 1756

Attorney Docket No. SD-8287.1

**METHOD OF PAYMENT** (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_☒ Deposit Account Deposit Account Number: 50-0583 Deposit Account Name: SNL by KCO

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES****Fee Description**

Each claim over 20 (including Reissues)

Fee (\$)	Small Entity Fee (\$)
50	25

Each independent claim over 3 (including Reissues)

200	100
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Multiple dependent claims

360	180
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Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 20 or HP =	x	=	
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HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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- 3 or HP =	x	=	
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HP = highest number of independent claims paid for, if greater than 3.

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
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- 100 =	/ 50 =	(round up to a whole number) x	=	
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**4. OTHER FEE(S)**

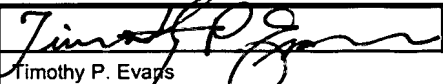
Non-English Specification, \$130 fee (no small entity discount)

**Fees Paid (\$)**

Other (e.g., late filing surcharge): Fee Code 1806 - Submission of an Information Disclosure Statement

\$180.00

**SUBMITTED BY**

Signature		Registration No. (Attorney/Agent) 41,013	Telephone (925) 294-3690
Name (Print/Type)	Timothy P. Evans		Date 03/08/2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Form PTO-1449 (SNL-Modified) (2-91)  
List of Patents and Publications  
for Applicant's  
Information Disclosure Statement

Atty Docket No: SD-8287.1  
Serial Number: 10/804,771

Applicant: MORALES

(use several sheets if necessary)

GROUP: FILING DATE: 03/19/04

REFERENCE DESIGNATION

Ex'r Init	U.S. Patent Documents			Sub		Filing Date (when applicable)
	Document No.	Date	Name	Class	Class	

|AA

Ex'r Init	Foreign Patent Documents			Class	Sub Class	Translation?	
	Document No.	Date	Name			Yes	No

|BA

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

|CA Chou, S. Y., Maluf, N. I.; Peasea, R. F. W.; "High-resolution and high-fidelity  
x-ray mask structure employing embedded absorbers", *Journal of Vacuum  
Science and Technology, B* v.6 (6), pp. 2202 – 2206, Nov/Dec 1988

Examiner:

Date Considered: